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on Jan 18, 2002  
by Linda Dupont

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

In re application of	:	Jan. 16, 2002
Lui, Shiping et al	:	IBM Corp. - T81/503
Serial #: 10/008,371	:	PO Box 12195
Filed: Nov. 7, 2001	:	Res. Tri. Park, NC 27709
For: Method and Apparatus	:	Group Art Unit: 2164
for Identifying Cross-Selling	:	Customer Number: 25259
Opportunities Based on	:	
Profitability Analysis	:	Examiner: Not yet assigned

**INFORMATION DISCLOSURE STATEMENT**

Commissioner of Patents & Trademarks  
Washington, D. C. 20231

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Technology Center 2100

Sir:

This Information Disclosure Statement is being submitted for the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. 1.98(a)(1).

A copy of each of the required items on PTO-1449 are supplied herewith.

Respectfully submitted,

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List of Patents and Publications for  
Applicant's Information Disclosure Statement

APPLICANT: Liu, Shiping et al.

(Use several sheets if necessary)

FILING DATE: Nov. 7, 2001  
GROUP: 2164**RECEIVED**

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**Reference Designation US PATENT DOCUMENTS**

Examiner Initials	Document Number	Date	Name	Class/Subclass	Filing Date (If. Appro.)
AA	5987425	11/16/99	Hartman, et al.	705/20	Oct. 10, 1997
AB	5615109	3/25/97	Eder	395/208	May 24, 1995
AC	6101479	8/8/00	Shaw	705/8	Nov. 1, 1995

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class/Subclass	Translation Yes No
AD	9909503	2/25/99	PCT	G06F17/60	X
AE	0039718	7/6/00	PCT	G06F17/60	X
AF	1035485	9/13/00	European	G06F17/60	X

**OTHER ART (Including Author, Title, Data, Pertinent Pages, etc.)**

- AG InformationWEEK, Sept. 1996, Johnston, S.J., No. 596 "How to Get a Better Return on Data", pp. 82, 86, 88.
- AH Banking Technology, Oct. 1991, Vol. 8, No. 9, Austin, D., "Brave New Branches", pp. 49-51.
- AI Banking Software Review, Autumn 1990, Vol. 15, No. 4, Rosenthal B. E., "Turning Products into Profits with Teller Tools", pp. 54-59.
- AJ Bank Systems and Equipment, June 1988, Vol. 25, No. 6, Fuentebella, C., "Teller and Platform Integration Expands Marketing Drive", pp. 65-68.
- AK Bank Systems and Equipment, June 1987, Vol. 24, No. 6 "First Tennessee Turns to Integrated Packages", pp. 62-64.
- AL Bank Systems and Equipment, Oct. 1986, Vol. 23, No. 10, Caradonna, L., "Householding of Customer Files Yields Valuable Marketing Info", pp. 68-70.
- AM Proceedings KDD-2000, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, Kitts, B.; Freed, D.; Vrieze, M.; "Cross-sell: a Fast Promotion-Turntable Customer-Item Recommendation Method Based on Conditionally Independent Probabilities", pp. 437-446.



AN Proceedings of the Fourth International Conference on the Practical Application of Knowledge Discovery and Data Mining, Biggs, G., "Implementing Data Mining in a Marketing Data Warehouse Development", pp. 15-18.

AO Direct Marketing, Connon, E., Sept. 1996, Vol. 59, no. 5., "Developing and Retaining Profitable Customer Relationships Through Call Centers", pp. 24-25.

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Examiner

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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.